



**USAID**  
FROM THE AMERICAN PEOPLE

**INDONESIA**

**Issuance Date:**

**February 12, 2010**

**Deadline for Receipt of Questions:**

**First Phase**

**February 22, 2010**

**Second Phase**

**August 2, 2010**

**Closing Date for Concept Papers:**

**First Phase**

**March 30, 2010**

**Second Phase**

**September 15, 2010**

**Closing Time for Submission of Concept Paper:**

**3:00 PM, Local Jakarta time**

**Submit Concept Papers to:**

**aps10-011@usaid.gov**

**SUBJECT: ANNUAL PROGRAM STATEMENT (APS) NUMBER  
INDONESIA 10-011 “GREENHOUSE GAS MITIGATION”**

Pursuant to the authority contained in the Foreign Assistance Act of 1961, as amended, the United States Agency for International Development Mission in Indonesia (USAID/Indonesia) is seeking applications from U.S. and International Non-Governmental Organizations (NGOs) that describes approaches to reduce greenhouse gas emissions in both the land use/forestry sector and the energy sector.

“International” NGOs are non-US NGOs, operating and registered in countries other than the US. NGOs are non-governmental organizations including any non-profit or voluntary organizations, organized on a local, national or international level. They are not part of any governmental organization, US or international and are independent of any governmental organization. They generally espouse humanitarian or cooperative objectives rather than commercial goals.

Subject to the availability of funds, USAID/Indonesia intends to award a series of Cooperative Agreements, of approximate value between \$500,000 and \$1,500,000 each for a period up to three years. USAID/Indonesia reserves the right to incrementally fund activities over the duration of the program, depending on program length, performance against approved program indicators and the availability of funds.

Pursuant to 22 CFR 226.81, USAID policy is not to award fee or profit under assistance instruments. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the grant program and are in accordance with applicable cost standards (22 CFR 226, OMB Circular A-122 for non-profit organization, OMB Circular A-

21 for universities, and the Federal Acquisition Regulation (FAR) Part 31 for-profit organizations), may be paid under the agreement.

This APS will be open for a period of one year from the issuance date of February 12, 2010 until such time funding identified for this APS has been fully obligated. This will be a two-stage process. First, applicants are required to submit Concept Papers. Second, the most highly rated Concept Papers will be invited to submit a full application.

If you decide to submit a Concept Paper, it must be received by the closing date and time indicated in the Cover Letter. **Facsimile submissions are not authorized nor will be accepted.**

Issuance of this APS does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of an application. In addition, final award of any resultant Agreement cannot be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures, on which condition this APS is issued. While it is anticipated that these procedures will be successfully completed, potential Applicants are hereby notified of these requirements and conditions for award. Applications are submitted at the risk of the Applicant, should circumstances prevent award of an Agreement, and all preparation and submission costs are at the Applicant's expense. Further, the U.S. Government reserves the right to reject any or all applications received.

The preferred method of distribution of USAID procurement information is:

- (1) via Grants.gov on the World Wide Web (www). This APS and any future amendments can be downloaded from the Agency Web Site. The Worldwide Web Address is <http://www.grants.gov>. Click on "Find Grant Opportunities", then click on "Browse by Agency" and choose "Agency for International Development". If you have difficulty registering or accessing the Grants.gov, please contact the Grants.gov Contact Center at 1-800-518-4726 or via e-mail at [support@grants.gov](mailto:support@grants.gov) for technical assistance. Receipt of this APS through Grants.gov must be confirmed by written notification to the contact person noted below. It is the responsibility of the recipient of the application document to ensure that it has been received from Grants.gov in its entirety and USAID bears no responsibility for data errors resulting from transmission or conversion processes.

and, the procurement information is copied to the following web site:

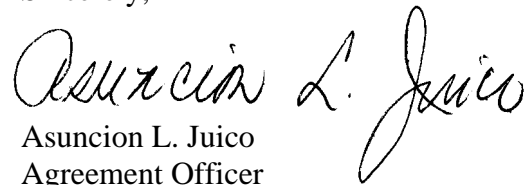
- (2) via USAID/Indonesia Web Site at <http://indonesia.usaid.gov/en/Procurement.aspx>. If you have difficulty accessing the web, please e-mail to [aps10-011@usaid.gov](mailto:aps10-011@usaid.gov) for further technical assistance. It is the responsibility of the recipient of the application document to ensure that it has been received from USAID/Indonesia's web site in its entirety and USAID bears no responsibility for data errors resulting from transmission or conversion processes.

**Any questions concerning this APS must be submitted in writing to Mr. Dominicus Soenarno via email at [aps10-011@usaid.gov](mailto:aps10-011@usaid.gov) no later than February 22, 2010 for the First Phase and August 2, 2010 for the Second Phase. No questions will be entertained after these dates. The time for submission of Concept Papers is at 3:00 PM, local Jakarta time.**

Applicants should retain for their records one copy of all enclosures, which accompany their application.

Thank you for your consideration of this USAID initiative. We look forward to your participation.

Sincerely,

A handwritten signature in black ink, reading "Asuncion L. Juico". The signature is fluid and cursive, with the first name being the most prominent.

Asuncion L. Juico  
Agreement Officer  
USAID Indonesia

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## **SECTION I PROGRAM DESCRIPTION**

### **GREENHOUSE GAS MITIGATION**

#### **A. BACKGROUND**

USAID/Indonesia solicits applications for GHG mitigation programs in energy and land use/forestry activities in Indonesia. This will be a part of the environment strategic objective under the new USAID/Indonesia strategy 2009-2014. The USAID new strategy also supports development challenges in Indonesia such as strengthening the quality of education, delivering democratic governance initiatives, improving health status, reducing disease threats and increasing employment.

Before ending in 2004, USAID/Indonesia had been engaged in the energy sector in Indonesia for over 30 years, constructing power plants, conducting training, and supporting the development of pertinent legislation. The new USAID energy program will have the goal of reducing the growth of carbon dioxide (CO<sub>2</sub>) emissions from the energy sector through improved clean energy development.

USAID/Indonesia has been working over many years in the forestry sector on topics that include community-based forest management, protected areas management, habitat conservation for orangutans, watershed management and spatial planning. In USAID's new strategy, the importance of climate change mitigation is highlighted as an integral part of improved natural resource management. The Mission plans to have a strong program directed at both GHG mitigation and climate change adaptation in its forestry and land use-related activities, within its larger environmental portfolio.

The new Mission Strategy, including the environment and climate can be viewed at:  
<http://indonesia.usaid.gov/en/home/>.

#### **B. OBJECTIVE**

USAID welcomes concept papers that describe approaches to reduce greenhouse gas emissions in both the land use/forestry sector and the energy sector.

Peat and forestry-related emissions are by far the largest contributors to Indonesia's GHG emissions, and reducing them through improved field-based activities in land use is a priority for Indonesia, the US and this APS. They also represent the largest opportunities to abate emissions. Emissions from draining or burning carbon-rich peatlands amount to 1.0 GtCO<sub>2</sub>e, roughly 45% of Indonesia's current total emissions. Deforestation and forest degradation is the second largest source of GHG emissions in Indonesia and is expected to remain so, with approximately 1.1 million hectares cleared per year, with one-third occurring in peatland forests and the remainder

in dry-land forests for which emissions amount to 850 MtCO<sub>2</sub>e, roughly 38% of Indonesia's current total emissions. Broadly accepted estimates indicate that around 20-30 percent of the world's GHG emissions reduction potential needed by 2020 will have to come from the forestry sector.

GHG emissions from energy will be responsible for an increasingly larger share of the total GHG emissions in Indonesia, and this APS also places high priority on supporting field-based activities that will directly result in GHG mitigation in the energy sector. Demand for power is expected to rise in Indonesia eightfold from 2005 to 2030 driven by rapid economic development, increased electrification of rural areas, fast growth of manufacturing and services, and the expected realization of latent and suppressed demand for power. As such, Indonesia's emissions from the power sector are expected to grow seven-fold from 110MtCO<sub>2</sub>e in 2005 to 745 MtCO<sub>2</sub>e in 2030 due to increasing dependence on coal. Emissions from the transportation sector will also increase seven-fold between 2005 and 2030 driven by strong growth in the number of personal and commercial vehicles. By 2030, fossil fuel GHG emissions in Indonesia could be four times the present levels, on par with total current combined emissions from land use and forestry.

### **C. AREAS OF CONCENTRATION**

Applicants are welcome to submit concept papers describing activities that address the objective stated above. Areas of particular interest in the forest sector are concept papers that focus on reduction of GHG emissions from peat decomposition, fires, deforestation, or forest degradation in areas of high biological significance. Priorities in the energy sector include reducing GHG emissions by increasing utilization of clean and renewable energy sources and utilizing demand-side management. Priorities in the transport sector include reducing GHG emissions by improving conventional internal combustion engines across vehicle classes, improving fuel quality and efficiency standards, shifting from gas powered vehicles towards hybrid and electric vehicles, converting or improving fuels, including biodiesel from palm oil that does not cause deforestation/peat degradation, or from transport planning, non-motorized transport or mass transit.

As part of the early action agenda for climate change, addressing black carbon emissions, particularly from sources of smoke such as diesel engines and inefficient cooking stoves, may be supported. Limiting methane and hydrofluorocarbons (HFCs) emissions may also be considered.

Also of interest for this APS, but of lower priority are activities to reduce emissions in the agricultural sector and to improve energy efficiency of buildings. Activities in the agricultural sector should reduce methane and nitrogen oxide emissions through water management practices for rice crops, reducing artificial fertilizer application, methane capture through biogas technology, or reducing the burning of crop residues and agricultural wastes. Energy efficiency in buildings include alternative water heating replacements, more efficient lighting, electronics and appliances, retrofitting building packages, and installing new building packages.

## **D. BIODIVERSITY CODE**

Proposed forest sector activities must also comply with USAID's biodiversity code which requires that:

- The program must have an explicit biodiversity objective
- Activities must be identified based on an analysis of threats to biodiversity
- The program must monitor associated indicators for biodiversity conservation, and
- Site based programs must have the intent to positively impact biodiversity in biologically significant areas.

The FAA 118/119 Biodiversity and Tropical Forests report located at <http://indonesia.usaid.gov/en/programs/environment/> identifies major threats to biodiversity.

## **E. RESULTS**

The proposed programs are expected to achieve results that are concrete and tangible. It is expected that the program will result in clearly measurable improvements in reducing greenhouse gas emissions or, at minimum, clearly measurable improvements in the enabling conditions for GHG mitigation. Ideally, the program will monitor its impact using one or more of USAID's common Global Climate Change indicators provided in the table below.

- Quantity of greenhouse gas emissions, measured in metric tons CO<sub>2</sub> equivalent, reduced or sequestered as a result of USG assistance
- Energy saved as a result of USG assistance
- Dollars saved from prevention, mitigation or reduction of pollution, including greenhouse gasses, as a result of USG assistance
- Number of laws, policies, agreements, or regulations addressing climate change proposed, adopted, or implemented as a result of USG assistance
- Number of people receiving USG supported training in global climate change including framework convention on climate change, greenhouse gas inventories, mitigation, and adaptation analysis

Forestry sector programs must also monitor its impact on biodiversity using one or more of the following indicators:

- Number of hectares in areas of biological significance under improved management as a result of USG assistance
- Number of hectares in areas of biological significance showing improved biophysical conditions as a result of USG assistance
- Number of policies, laws, agreements or regulations promoting sustainable natural resource management and conservation that are implemented as a result of USG assistance

- Number of people with increased economic benefits derived from sustainable natural resource management and conservation as a result of USG assistance.

## **F. INSTRUCTIONS TO APPLICANTS**

### **1. ELIBILITY**

USAID is seeking applications from U.S. and international non-governmental organizations (NGOs) for a program entitled "Greenhouse Gas Mitigation."

"International" NGOs are non-US NGOs, operating and registered in countries other than the US. NGOs are non-governmental organizations including any non-profit or voluntary organizations, organized on a local, national or international level. They are not part of any governmental organization, US or international and are independent of any governmental organization. They generally espouse humanitarian or cooperative objectives rather than commercial goals.

For profit as well as not-for-profit organizations are eligible to submit proposals under this APS. However, for-profit institutions will not be able to charge a fee.

### **2. PROGRAM DURATION**

The APS will be open for a period of one year from the issuance date of February 9, 2010 until such time as funding identified for this APS has been fully obligated. This will be a two-stage process. Applicants are required to submit Concept Papers for review by a Technical Evaluation Committee in accordance with the evaluation criteria set forth in Section II.C. The most highly rated concept papers will be invited to participate in the submission of a full application per instructions described in Section III.

Concept Papers will be reviewed in phases, as follows:

	<b>Deadline for Submission</b>
First Round	March 30, 2010
Second Round	September 15, 2010

It is possible that the second round of applications will be canceled if funding identified for this APS has been fully obligated. Depending on the availability of funds and the effectiveness of the award mechanism, the APS may be extended or reissued.

USAID reserves the right to incrementally fund activities over the duration of the program, if necessary, depending on program length, performance against approved program indicators and availability of funds.



### **3. ANTICIPATED FUNDING AND NUMBER OF AWARDS**

USAID plans to make Cooperative Agreement award(s) with approximate value(s) between \$500,000 and \$1,500,000 each for a period up to three years. Nevertheless, USAID reserves the right to make a single award, to fund parts of applications, or not to make any awards at all. Issuance of this APS does not constitute an award commitment on the part of the U.S. Government, nor does it commit the U.S. Government to pay for any costs incurred in the preparation and submission of any application.

### **4. SUBSTANTIAL INVOLVEMENT**

USAID anticipates that Cooperative Agreement(s) will be awarded as a result of this APS. Under Cooperative Agreement(s), USAID may be substantially involved in the following areas:

- USAID approval of the recipient's Annual Work/Implementation Plans.
- USAID approval of key personnel (limited to 5 positions or 5% of the recipient's total team size, whichever is greater);
- USAID approval of a program Monitoring and Evaluation (M&E) Plans including indicators
- USAID consent of the selection of sub-grants/sub-awards

5. This APS is the official source document for the application. Oral explanations of the applications will not be evaluated or considered; only written applications will be evaluated. Applicants should retain for their records a copy of the application and all attachments/enclosures which accompany their application. USAID will only consider applications conforming to the prescribed format.

Explanations or instructions given before award of a Cooperative Agreement will not be binding. Any information given to a prospective Applicant concerning this APS will be furnished promptly to all other prospective applicants as an amendment of this APS.

----- END OF SECTION I -----

## SECTION II APPLICATION AND SUBMISSION INFORMATION FOR CONCEPT PAPERS

### A. APPLICATION PROCESS

USAID/Indonesia invites U.S. and international non-government organizations (NGOs) to submit brief concept papers that demonstrate an innovative approach to reducing greenhouse gases in Indonesia. This is a two-stage process. Applicants are required to submit short concept papers per the instructions below. These concept papers should demonstrate the approach and describe results that could be achieved, should funding be awarded by USAID, but need not be in the format or detail of a full proposal. The submitted concept papers will be reviewed using the criteria set forth below. The most highly rated applicants will be invited to participate in the second stage through the submission of a full application per the instructions below.

USAID/Indonesia will keep this Annual Program Statement open for a period of one year from the date of issue and will review concept papers in phases as follows:

	<b>Deadline for Submission</b>
First Phase	March 30, 2010
Second Phase	September 15, 2010

Applicants interested in being considered for funding should submit a concept paper via e-mail to [aps10-011@usaid.gov](mailto:aps10-011@usaid.gov). Only those Concept Papers that are received by the deadline specified above will be reviewed for responsiveness to the requirements set forth in this APS.

Successful applicants will be notified in writing if USAID will request them to expand the concept paper into a full proposal application. Details of the requirements for a full cost and technical proposal will, at such time, be provided to successful applicants. **Applicants should not prepare full proposals unless specifically requested to do so by USAID/Indonesia's Office of Procurement.**

### B. CONCEPT PAPERS FORMAT

The concept papers must be written in English and formatted on standard 8 1/2" x 11" paper, with single space, 12 point font Times New Roman or similar font with margins no less than one inch on each border, and each page numbered consecutively. The concept paper should include three sections and total submission should not exceed eleven (11) pages. The concept papers are to be presented in the following format:

**1. Cover Page (one page).** The Cover Page must include the APS number, names of the organizations involved (with the name of the lead or primary Applicant clearly identified), and title of the application. In addition, the Cover Page should provide a contact person for the primary Applicant, including the individual's name, title or position with the organization, mailing address, email address, telephone and fax numbers. Applicants should also clearly state whether the identified contact person has the authority to negotiate on behalf of the Applicant, or, if not, the contact information for the appropriate person with authority to negotiate.

**2. Technical Narrative.** A narrative of not more than **nine (9) pages** should outline the following:

- Goals – Describe the goals of the program.
- Problem Definition – Define the problem and provide an analysis of the context. Demonstrate adequate understanding of the demand for the proposed services.
- Technical Innovation – Describe the technical approach to be used to achieve the goals, types of activities, and general sequencing. Explain how or why the proposed approach will be more successful or effective than other development approaches.
- Sustainability – Describe how the program can be sustained after USG funding.
- Beneficiaries – Describe the proposed scale of the activities, estimated numbers and types of beneficiaries, and geographic spread. Proposals should specify reasons for the selection of activity sites.
- Expected Results - Outline the expected results and the mechanisms proposed to measure progress, achievement and sustainability.
- Administrative Capabilities - Describe technical and administrative experience and capabilities, including a description of any related past performance and implementation of similar programs. If the applicant is a partnership or consortium, the concept paper should evidence the partners' agreement to participating in the application and identify the lead organization and the roles and expertise of each partner.

**3. Budget.** Provide a **one-page** budget that clearly identifies the major costs line items, such as personnel, travel, training, cost-sharing, program activities, sub-awards, etc., by year, for the full program period. Applicants and their prospective partners are encouraged to focus resources on project implementation rather than salaries, equipment and supplies. The proposed costs and budget aspects of applications will be reviewed for cost realism to evaluate the relationship between the proposed costs and proposed program as well as the likelihood for success.

## **C. TECHNICAL EVALUATION CRITERIA FOR CONCEPT PAPERS**

USAID/Indonesia has established a Technical Evaluation Committee to review and evaluate all concept papers received. The concept papers will be competitively evaluated against the following criteria in descending order of importance:

1. Technical quality and innovation of the concept paper, including having clear objectives and goals, and impact potential*	40 points
2. Technical and administrative capacity to manage the proposed program	20 points
3. Results to be achieved, beyond a sequence of activities, including sustainability and potential for scale-up	15 points
4. Cost effectiveness and value of cost share contributions**	15 points
5. Demonstrated experience and track record of the applicants in the proposed area of work	10 points
<b>TOTAL</b>	<b>100 points</b>

\* Preference will be given to Applications that involve partnerships with local Indonesian institutions.

**\*\*Cost Effectiveness:** The capability of the organizations to contribute to achievement of the strategic objective at lowest cost, as well as the ability of the organization to contribute financially or in-kind towards the activities of the grant agreement. The larger the value of the proposal, the greater the level of results that will be expected. Applications that incorporate larger cost sharing will be more positively evaluated.

-----END OF SECTION II -----

### **SECTION III SUBMISSION AND INFORMATION FOR FULL APPLICATIONS**

**NOTE: Applicants should not prepare full applications unless specifically requested to do so by the USAID/Indonesia Agreement Officer.**

#### **A. INSTRUCTIONS AND SUBMISSION PROCEDURES**

Full applications should be written as succinctly as possible with sufficient detailed information to permit USAID's consideration and evaluation for possible award. Applicants are to adhere to the specific instructions of this APS and should appropriately organize and reference their applications.

Applications shall be submitted in two separate volumes: (a) Technical Application and (b) Business/Cost Application. Technical applications should be submitted in one original and four (4) copies and Cost Applications in one original and two (2) copies.

The Applicant shall submit the full applications both in hard copies and electronically, as follows:

**a. Electronically** – internet e-mail with attachments compatible with MS Word, Excel, Adobe Acrobat in MS Windows environment to **aps10-011@usaid.gov**.

and

**b. Hard Copies -**

Ms. Asuncion L. Juico  
Office of Procurement  
USAID/Indonesia  
American Embassy  
Jl. Medan Merdeka Selatan 3  
Jakarta, Indonesia 10110  
Mark: APS Indonesia 10-011

**Faxed applications will not be considered.**

Applicants should retain for their records one copy of the application and all enclosures which accompany their application. Erasures or other changes must be initialed by the person signing the application. To facilitate the competitive review of applications, USAID will consider only applications conforming to the format prescribed below. In addition to the aforementioned guidelines, the applicant is requested to take note of the following:

1. Unnecessarily Elaborate Applications – Unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this APS are not desired and may be construed as an indication of the applicant's lack of cost consciousness. Elaborate art work, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.
2. Acknowledgement of Amendment(s) to the APS shall be submitted together with the application.
3. Applicants are expected to review, understand, and comply with all aspects of this APS including attachments. Failure to do so will be at the applicant's risk.
4. Each applicant shall furnish the information required by this APS. The applicant shall sign the application and print or type the name and title clearly on the Cover Page of the technical and cost applications. Applications signed by an agent shall be accompanied by evidence of that agent's authority.
5. Applicants must ensure that all the certifications are completed and signed (See Section E of the APS).
6. In the submissions, the applicants must include any additional evidence of responsibility deemed necessary for the Agreement Officer to make a determination of responsibility in accordance with ADS E303.3.9 at the following website:  
<http://www.usaid.gov/policy/ads/300/303.pdf>
7. Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes, should:
  - (1) Mark the title page with the following legend:  
*"This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this application. If, however, a Cooperative Agreement is awarded to this applicant as a result of - or in connection with - the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting Cooperative Agreement. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction."*
  - (2) Mark each sheet of data it wishes to restrict with the following legend:  
*"Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this application."*

Full Applications received by the deadline will be reviewed for responsiveness to the requirements outlined in these guidelines and will be evaluated by a USAID's Technical Evaluation Committee (TEC). Additional discussions with applicants may take place if the applications submitted do not adequately describe the activities to be funded and/or there are one or more points to be clarified or modified based on the recommendations of the TEC.

## **B. TECHNICAL APPLICATION FORMAT**

Technical Applications are limited to twenty five (25) pages plus specified attachments/annexes. Applications must be written in English. The Application should be formatted on standard 8-1/2" x 11" paper, with single space, 12 point font Times New Roman or similar font with margins of not less than one inch on each border. Number each page consecutively.

**1. Technical Applications** should be kept as concise and succinct as possible. Technical Applications submitted should be in the following format:

- (a) Cover Page (not more than one (1) page): The Cover Page should include the APS number, names of the institutions involved (with the name of the lead or primary Applicant clearly identified), and title of the application. All proposed sub-grantees should also be listed. In addition, the Cover Page should provide a contact person for the primary Applicant, including the individual's name, title or position in the institution, mailing address, e-mail address, and telephone and fax numbers. Applicants should also clearly state whether or not the identified contact person has the authority to negotiate on behalf of the Applicant, and if not, the contact information for the appropriate person with authority to negotiate.
- (b) Executive Summary (not more than one (1) page): A summary of the key elements of the Applicant's Technical Application, including but not limited to, the technical strategy and approach, methodologies, and implementation plan. Describe how the overall program will be managed. DO NOT provide cost figures other than the Total Amount of USAID funds requested.
- (c) Technical Narrative (not more than 21 pages): The technical narrative will be evaluated in accordance with the Evaluation Criteria set forth in the section below. Applicants must organize the narrative sections of their applications in the same order as the evaluation criteria and include the following sub-sections:

### **Program Description**

- i. Goal and Objectives
- ii. Proposed Outcomes
- iii. Context Analysis
- iv. Technical Approach
- v. Expected Impact

(d) Management Plan (2 pages): The Management Plan should include the proposed management structure, proposed key personnel and staffing, any partnership arrangements, contingency plans and an Implementation Schedule (including milestones).

**Required Key Personnel:** USAID's key personnel requirements for any proposals under this APS are as follows:

- (1) Chief of Party;
- (2) Technical Manager

The minimum required qualifications for these key personnel positions follow below. The balance of the staffing and management structure is to be proposed by the Applicant and will be evaluated by USAID as per the technical evaluation criteria. Applicants may propose a maximum of three additional key personnel positions based on the approach and implementation of the Applicant's technical proposal.

**Chief of Party (COP):** Responsible for program impacts, external representation and coordination with USAID, other donors and other programs while also contributing to technical guidance of the programs and, where appropriate, offering technical assistance to strategic partners. The COP will also be responsible for oversight of program activities to ensure quality work and compliance with grant results.

Qualifications: Advanced degree in a relevant field and at least 10 years experience managing similar programs funded by an international donor and demonstrated technical expertise in the relevant subject matter are required. The experience should include program development; hiring; supervising; systems and office set-up; budgeting; financial management (tracking, reporting and accounting); procurement and tracking non-expendable property. Strong written and oral communication skills including presentation skills; demonstrated ability to interact professionally and work constructively with a range of individuals, including the USAID mission, local partners and government officials; and fluency in written and spoken English are required. Prior experience in Indonesia or East Asia/Pacific is highly desirable. Ability to communicate in Bahasa Indonesia and demonstrated understanding of USAID policies, programs and procedures related to managing programs are desirable.

**Technical Manager:** Responsible for day to day program management; providing the main technical guidance for the program, designing the support program and technical aspects of the annual work plan and, where appropriate, offering technical assistance to strategic partners.

Qualifications: Advanced degree in a relevant field is required. An additional four years of professional experience is required in lieu of an advanced degree. A minimum of eight years experience with greenhouse gas mitigation practices in the functional area proposed in the Application is required. Strong written and oral communication skills including presentation skills, demonstrated ability to interact professionally and work constructively with a wide



range of individuals, including the USAID mission, local partners and government officials; and fluency in written and spoken English are required. Prior experience in Indonesia or East Asia/Pacific and ability to communicate in Bahasa Indonesia are highly desirable.

(e) Annexes – The Technical Application should contain at the minimum the following annexes:

(i) Illustrative Work Plan

(ii) Curriculum Vitae/Resume should be provided for each key technical personnel. They should be limited to a maximum of four pages per person. Each resume shall be accompanied by a signed letter of commitment from the candidate indicating his/her availability to serve in the stated position, in terms of period, after award. A minimum of three references must be submitted for the proposed key personnel, together with current telephone and fax numbers and e-mail addresses. The Government retains the right to contact employment references for all key personnel (including those not provided by the Applicant), and to use this information in the rating of personnel proposed.

(iii) Past Performance References (of applicant and key partner institutions): Applicants shall furnish award numbers and other details with contact information, for three projects funded over the past three (3) years by USAID, or any other government entity, or third-party source. The details shall include the following: name of the organization or agency which funded the programs; award number; point of contact's name, mailing address, email address and phone number; and the overall dollar value of the program. Applicants shall include a brief description of the work performed by the applicant for each project, providing evidence of successful results achieved in programs similar to those outlined in the APS, as well as demonstrated experience in program monitoring and evaluation, budgeting, and financial reporting.

(iv) Performance Monitoring Plan: Applicants should submit a proposed Performance Monitoring Plan (PMP) to track the progress in activities and achievement of results over the life of the proposed activities. The proposed PMP will be used as a starting point of negotiation with USAID if an award is made. The draft PMP must include periodic (semi-annual), annual, and end-of-program indicators and targets to measure the progress of the proposed activities and the achievement of results. The end-of program indicators must be quantified in the performance monitoring plan. The final Performance Monitoring Plan will be approved within 75 days after award.

(v) Signed Letters of Commitment should be provided by all proposed implementing partners.

### **C. BUDGET/COST APPLICATION FORMAT**

The following sections describe the documentation that Applicants must submit for full applications. There is no page limitation on the Cost Application but Applicants are encouraged to be as concise as possible and provide the necessary detail to address the following:

1. A summary of the budget must be submitted using Standard Form (SF) 424, 424A & 424B which can be downloaded from [http://www.grants.gov/agencies/approved\\_standard\\_forms.jsp](http://www.grants.gov/agencies/approved_standard_forms.jsp)

- SF-424, Application for Federal Assistance
- SF-424A, Budget Information – Non-construction Programs, and
- SF-424B, Assurances – Non-construction Programs

Any blocks that appear to be referencing issues that are not applicable to the Applicant's situation, should be left blank or marked "N/A." After receipt of full applications, USAID may choose to contact Applicants to clarify their SF424s. Applicants are requested to submit signed copies of the SF424s.

2. A Budget Narrative which provides, in detail, the total costs for implementation of the proposed program for the full program period. The budget should clearly show how funds will be used to support the activities proposed in the application's Technical Narrative. The budget should display unit costs (if applicable) and costs by year and should include sub-budgets for each component. The budget is to address (as applicable), but is not limited to, the following: personnel, fringe benefits, office rent, utilities, equipment, communications, and local travel. The Budget Narrative must explain all costs – and the basis of those costs – contained in the budget. The proposed costs and budget aspects of applications will be reviewed for cost realism to evaluate the relationship between the proposed costs and proposed program as well as the likelihood for success.

3. The breakdown of all costs of each partner organization involved in the program.

4. The breakdown of all financial and in-kind cost share of all organizations involved in implementing the proposed activities.

5. Potential contributions of non-USAID or private sector donors to the proposed activities.

6. Negotiated Indirect Cost Rate Agreement (NICRA): Applicants must provide a copy of the most recent indirect cost rate agreement negotiated with your organization's cognizant U.S. Government agency.

Applicants who do not currently have a Negotiated Indirect Cost Rate Agreement (NICRA) from their cognizant government agency shall also submit the following information:

- a. Copies of the Applicant's financial reports for the previous 3-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID;

- b. Projected budget, cash flow and organizational chart;

If requested, Applicants that have never received a grant, cooperative agreement, or contract from the U.S. Government are required to submit a copy of their accounting manual.

#### **D. PROGRAM REQUIREMENTS**

The following program requirements must be addressed fully when submitting an application:

1. **GENDER.** Given the critical role of women in development, it is essential that institutions competing for an award demonstrate knowledge and capacity to address gender-based constraints. Based on the different needs and roles of men and women, strategies for addressing these needs and for ensuring women's full participation in all proposed activities must be part of the methodology/proposed approach. In addition to explicitly addressing women's needs and participation, the proposed methodology/approach shall also address: (a) how will gender relations affect the achievement of sustainable results; and (b) how will proposed activities affect the relative status of men and women. Furthermore, the program strategy shall demonstrate how activities will be monitored, tracked and evaluated to measure the impact on women and on gender relations. All results and indicators must be disaggregated by sex.

2. **ENVIRONMENTAL PROTECTION AND COMPLIANCE.** All projects funded by USAID must conform to U.S. environmental regulations (22 CFR216) requiring evaluation to ensure that any environmental impacts resulting from the project implementation are mitigated. Through development of the Initial Environmental Examination (IEE), 22 CFR 216 or "Reg.216," ensures that environmental (i.e., natural resource or public health) impacts of USAID-funded activities are identified and mitigation measures are proposed at the design stage, prior to the irreversible obligation of USAID funds. Subsequently, over the Life of the Activity (LOA), these environmental mitigation measures are to be a standard component of program management.

3. **BRANDING STRATEGY AND MARKING PLAN.** Pursuant to ADS 320.3.3 and 22 CFR 226.91, the Applicant shall prepare a Branding Strategy and Marking Plan for any award under this APS. Branding and marking under this Cooperative Agreement will be carried out in accordance with AAPD 05-11, which is available at:  
[http://www.usaid.gov/business/business\\_opportunities/cib/pdf/aapd05\\_11.pdf](http://www.usaid.gov/business/business_opportunities/cib/pdf/aapd05_11.pdf).

Should your organization be recommended for award under this APS, you will be required to submit the following:

- (a) Branding Strategy that describes how the program, project, or activity is named and positioned, how it is promoted and communicated to beneficiaries and cooperating country citizens, and identifies all donors and explains how they will be acknowledged, and;

(b) A Marking Plan that will detail the public communications, commodities, and program materials intended to visibly bear the USAID identity together with a negotiable budget for each. Once submitted, the Branding Strategy and Marking Plan and their costs, must be negotiated and approved by the USAID Mission/Regional Mission Agreement Officer prior to award.

4. **COST SHARING.** Cost sharing and/or leveraging may be proposed where technical/programmatic benefits would result. Applications that incorporate larger cost sharing/leveraging will be considered more responsive to this APS and will be more positively evaluated. Cost sharing includes contributions, both cash and in-kind, which are necessary and reasonable to achieve program objectives and which are verifiable from the recipient's records. Cost sharing contributions may include volunteer services provided by professional and technical personnel and un-recovered indirect costs. Additional information may be found in 22 CFR 226.23 "Cost sharing and matching" and the USAID Automated Directives System (ADS) 303.3.10, both documents are available on line at: <http://www.usaid.gov/business/regulations/>.

## **E. MANDATORY REQUIREMENTS**

### **1. IMPLEMENTATION OF E.O.13224 -- EXECUTIVE ORDER ON TERRORISM FINANCING (MAR 2002)**

The Recipient/subrecipient(s) is reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the recipient/subrecipient(s) to ensure compliance with these Executive Orders and laws. This provision must be included in all subawards issued under this agreement.

### **2. FOREIGN GOVERNMENT DELEGATIONS TO INTERNATIONAL CONFERENCES (JAN 2002)**

Funds in this agreement may not be used to finance the travel, per diem, hotel expenses, meals, conference fees or other conference costs for any member of a foreign government's delegation to an international conference sponsored by a public international organization, except as provided in ADS Mandatory Reference "Guidance on Funding Foreign Government Delegations to International Conferences" or as approved by the Agreement Officer.

### **3. USAID DISABILITY POLICY (DEC 2004)**

The objectives of the USAID Disability Policy are (1) to enhance the attainment of United States foreign assistance program goals by promoting the participation and equalization of opportunities of individuals with disabilities in USAID policy, country and sector strategies, activity designs and implementation; (2) to increase awareness of issues of people with disabilities both within USAID programs and in host countries; (3) to engage other U.S. government agencies, host country counterparts, governments, implementing organizations and

other donors in fostering a climate of nondiscrimination against people with disabilities; and (4) to support international advocacy for people with disabilities. The full text of the policy paper can be found at the following website: [http://www.usaid.gov/about\\_usaid/disability/](http://www.usaid.gov/about_usaid/disability/).

USAID therefore requires that the Recipient not discriminate against people with disabilities in the implementation of USAID funded programs and that it make every effort to comply with the objectives of the USAID Disability Policy in performing the program under this grant or cooperative agreement. To that end and to the extent it can accomplish this goal within the scope of the program objectives, the Recipient should demonstrate a comprehensive and consistent approach for including men, women and children with disabilities.

## **F. APPLICABLE REGULATIONS AND REFERENCES**

Standard Provisions will be provided in full text, as applicable, in the resultant agreement.

- Mandatory Standard Provisions for U.S., Nongovernmental Recipients  
<http://www.usaid.gov/pubs/ads/300/303maa.pdf>
- Mandatory Standard Provisions for Non U.S. Nongovernmental Recipients  
<http://www.usaid.gov/policy/ads/300/303mab.pdf>
- 22 CFR 226 USAID Assistance Regulations  
[http://www.access.gpo.gov/nara/cfr/waisidx\\_02/22cfr226\\_02.html](http://www.access.gpo.gov/nara/cfr/waisidx_02/22cfr226_02.html)
- 22 CFR 228 USAID Source, Origin, Nationality Regulations  
[http://www.access.gpo.gov/nara/cfr/waisidx\\_01/22cfr228\\_01.html](http://www.access.gpo.gov/nara/cfr/waisidx_01/22cfr228_01.html)
- ADS Series 303 Acquisition and Assistance  
<http://www.usaid.gov/policy/ads/300/303.pdf>
- AAPD 02-10 Cost Sharing in Grants and Cooperative Agreements to NGOs  
[http://www.usaid.gov/business/business\\_opportunities/cib/pdf/aapd02\\_10.pdf](http://www.usaid.gov/business/business_opportunities/cib/pdf/aapd02_10.pdf)
- SF 424, SF 424A, SF 424B  
[http://www.grants.gov/agencies/approved\\_standard\\_forms.jsp](http://www.grants.gov/agencies/approved_standard_forms.jsp)

## **G. REVIEW PROCESS**

All applications which meet the eligibility and program requirements, and conform to the application preparation and submission instructions, will be reviewed and scored by a panel of USAID reviewers with the evaluation criteria set forth in this section.

The budget narrative of all applications under consideration for award will be reviewed for what are necessary and reasonable costs to support the program. Upon completion of the initial review of applications, USAID may, as it deems necessary and appropriate, conduct written and/or oral discussions with those Applicants whose applications remain in the competitive range. The decision to conduct such discussions should not be considered a reflection of a final decision about which organization will receive an award, but rather as a part of the evaluation process.

## **H. TECHNICAL EVALUATION CRITERIA FOR FULL APPLICATIONS**

The criteria listed below are presented by major category, so that Applicants will know which areas require emphasis in the preparation of the technical proposal. These criteria serve as the standards against which all technical information will be evaluated, and serve to identify the significant matters which Applicants should address.

The number of points assigned to each of the following criteria indicates their relative importance. Within each category, sub-criteria are weighted according to the points indicated. Sub-criteria that do not have weights assigned are intended to broadly inform the scoring process and will not be individually scored or equally weighted, and are not listed in any particular order. To make the selection process as objective as possible, each implementing partner should clearly demonstrate how the application meets these criteria.

### **Evaluation Criteria**

<b>1. Technical Approach</b>	<b>40 points</b>
<b>2. Organizational Capability</b>	<b>20 points</b>
<b>3. Key Personnel</b>	<b>20 points</b>
<b>4. Past Performance</b>	<b>15 points</b>
<b>5. Cost sharing and resource leverage from non-USAID/Federal sources</b>	<b>5 points</b>
<b>TOTAL</b>	<b>100 points</b>

### **1. Technical Approach (40 points)**

The technical approach will be evaluated on:

- (a) Viability of approach toward achieving the goals as outlined in the APS, i.e., the proposed approach can reasonably be expected to produce the intended outcomes;
- (b) Application demonstrates a significant, feasible result that can realistically be achieved within the level of funding and time period being proposed;
- (c) Inclusiveness of approach and gender sensitivity;
- (d) Likelihood that the activities will be continued and sustained beyond

project completion date and without USAID support;

(e) Potential for scale-up; and

(f) Application demonstrates the institution's capability to implement and monitor activities, and provides an illustrative performance monitoring plan that outlines quantifiable measurement of progress of activities and their results.

## **2. Organizational Capability**

**(20 points)**

The proposal should demonstrate the organization's effectiveness in terms of internal structure, technical capacity, and key personnel, in meeting the goals of disaster risk reduction and climate change adaptation.

(a) Management Plan: Appropriate systems to manage the administrative aspects of the program supporting effective and efficient project implementation in a transparent and accountable manner. Applicants should show structure and capacity to manage (technically, administratively, and financially) a project of similar type and complexity and to deliver the required results.

(b) If the applicant is a partnership or consortia, the proposal should explain the roles and expertise of each partner, especially in building lasting technical and administrative capacity of Indonesian partners. Preference will be given to applications that involve partnerships with local Indonesian institutions.

## **3. Personnel**

**(20 points)**

The proposed Key Personnel will be evaluated on their ability to implement the program and relevant qualifications.

(a) The proposed staffing plan and proposed personnel are appropriate for the proposed activities.

(b) Applicants should provide CVs for the Chief of Party, Technical Manager, and all other identified key technical positions. Individuals proposed will be evaluated for their strengths and skills, including:

i) sufficient technical leadership experience to develop and implement the proposed program, including appropriate academic credentials and experience with effective program monitoring and evaluation techniques;

and

ii) adequate experience to oversee the administrative, contracting, financial, and logistical aspects of the proposed program;

## **4. Past Performance**

**(15 points)**

USAID will evaluate past performance on the basis of evidence of past achievement of successful results in programs similar to those outlined in the

APS, as well as demonstrated experience in program monitoring and evaluation, budgeting, and financial reporting.

- (a) Applicants are requested to list all contracts, grants, or cooperative agreements involving similar or related programs conducted by the applicant over the past three years. If the applicant is a partnership or consortium, information on past performance should be provided for all known partners and prospective sub-awardees. Reference information should include the contact information for an official point of contact, award or contract numbers, and a brief description for the work performed by the applicant.
- (b) USAID's evaluation will focus on the applicant's record of conforming to contract/agreement requirements and to standards of good workmanship, record of forecasting and controlling costs, adherence to schedules, history of reasonable and cooperative behavior, commitment to customer satisfaction, business-like concern for the interest of the customer, and the competence of the personnel who worked on the contract/agreement.
- (c) In cases where an applicant lacks relevant past performance experience or for which the information is not available, it will be at the discretion of the Agreement Officer to give a neutral rating.

## **5. Cost sharing and resource leverage from non-USAID/Federal sources (5 points)**

Cost share is defined by USAID as "contributions, both cash and in-kind, which are necessary and reasonable to achieve program objectives and which are verifiable from the recipient's records." Please take note of the provision on cost-sharing in 22 CFR 226.23.

Although there is no requirement that Applicants propose a specific cost share, USAID policy is that cost sharing is an important element of the USAID-recipient relationship. USAID requires Applicants to demonstrate their commitment to program success by addressing the issue of cost-sharing. Applications that incorporate larger cost sharing will be more positively evaluated.

## **I. RESPONSIBILITY DETERMINATION**

Applicants shall submit any additional evidence of responsibility deemed necessary for the Agreement Officer to make a determination of responsibility. The information submitted should substantiate that the Applicant:

- (a) Has adequate financial, management and personnel resources and systems, or the ability to obtain such resources as required during the performance of the award;
- (b) Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the Applicant, nongovernmental and governmental.
- (c) Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinary sufficient to justify a finding of non-responsibility, unless there is clear



evidence of subsequent satisfactory performance.

- (d) Has a satisfactory record of integrity and business ethics; and
- (e) Is otherwise qualified and eligible to receive an award under applicable laws and regulations (e.g. EEO).

An award will be made only when the Agreement Officer has made a positive determination that the Applicant possesses, or has the ability to obtain, the necessary management competence in planning and carrying out the assistance program and that it will practice mutually agreed upon methods of accountability for funds and other assets provided by USAID. For the organizations which have had no prior or few USAID awards, or organizations with outstanding audit findings, it may be necessary to perform a pre-award survey prior to Agreement Officer making this determination or establishing conditions under the award.

#### **J. PRE-AWARD SURVEYS (GRANT WORTHINESS ASSESSMENT).**

The Agreement Officer or the survey team's responsibility is to ensure that a recipient has the necessary organization, experience, accounting and operational controls, and technical skills, or the ability to obtain them, in order to achieve the objectives of the program.

- (1) For a U.S. organization, the Agreement Officer applies the standards in 22 CFR 226, 22, to include CFR 226.20 (Financial and Program Management), 22 CFR 226.30 – 226.37 (Property Standards), 22 CFR 226.40 – 226-49 (Procurement Standards), and 22 CFR 226.50 – 226.53 (Reports and Records).

To establish whether the potential recipient is responsible, the Agreement Officer or a representative must conduct a detailed analysis of the applicant's systems that addresses whether –

- its accounting, recordkeeping, and overall financial management systems meet the applicable standards in 22 CFR 226;
  - the applicant's system of internal controls, including segregation of duties, handling of cash, contracting procedures, personnel and travel policies, is reasonable and in accordance with the applicable cost principles;
  - the applicant's property management system, if applicable, meets the property standards in 22 CFR 226;
  - the applicant meets the responsibilities in OMB Circular A-133 for the administration and monitoring of subawards; and
  - the applicant's procurement system, if procurement is significant to the award, meets the standards set forth in 22 CFR 226.
- (2) For a non-U.S. applicant, although 22 CFR 226 does not directly apply, the Agreement Officer must use the standards of 22 CFR 226 in determining whether a potential non-U.S. recipient is responsible.

## **K. COST EVALUATION CRITERIA**

Evaluation points will not be awarded for cost. Cost will primarily be evaluated for realism, allowability and reasonableness. This evaluation will consist of a review of the cost portion of an Applicant's application to determine if the overall costs proposed are realistic for the work to be performed, if the costs reflect the Applicant's understanding of the requirements, and if the costs are consistent with the Technical Application.

Evaluation of Cost Applications will consider, but not be limited to, the following:

- Cost reasonableness, cost realism and completeness of the cost application and supporting documentation;
- Overall cost control/cost savings evidenced in the application (avoidance of excessive salaries, excessive home office visits, and other costs in excess of reasonable requirements)

**Cost realism** is an assessment of accuracy with which proposed costs represent the most probable cost of performance, within each Applicant's technical and management approach. A cost realism evaluation shall be performed as part of the evaluation process as follows:

- Verify the Applicant's understanding of the requirements.
- Assess the degree to which the Cost Applications accurately reflect the technical and management approach as well as the risk that the Applicant will be successful in providing the supplies or services for the costs proposed.
- Assess the degree to which the costs included in the Cost Applications accurately represent the work effort included in the respective Technical Applications.

The results of the cost realism analysis will be used as part of the Agency's best value/tradeoff analysis. Although technical evaluation criteria are significantly more important than cost, the closer the technical evaluation scores of the various applications are to one another, the more important cost considerations will become. Therefore, the evaluation of costs proposed may become a determining factor in making the award.

## **L. BEST VALUE DECISION**

Award will be made to the Applicant whose application offers the best value to the Government. Best value is defined as the expected outcome of a procurement that, in the Government's estimation, provides the greatest overall benefit in response to the requirement.

For this APS, technical proposal merits are considered significantly more important than costs in deciding which Applicant might best perform the work. Cost realism and reasonableness, as well as the amount of cost sharing, will however be important criteria and may be the determining factors in the event that the applications receiving the highest ratings are closely

ranked. Therefore, after the final evaluation of the application, the Agreement Officer will make the award to the Applicant whose application offers the best value to the Government considering both technical and cost factors.

----- END OF SECTION III -----